

STATE PRESERVATION GRANTS

GUIDELINES AND APPLICATION FORM

2004



**STATE OF RHODE ISLAND
Historical Preservation
& Heritage Commission**



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STATE PRESERVATION GRANTS: GUIDELINES

Introduction:

On November 5, 2002, the voters of Rhode Island approved a \$3 million bond issue that establishes a historic preservation grant program operated by the Rhode Island Historical Preservation & Heritage Commission (“RIHPHC” or “the Commission”) “to fund capital preservation for renovation projects for museums and cultural art centers located in historic structures in the State of Rhode Island.” The Commission drafted regulations for the historic preservation grants program which were reviewed by the public and then approved by the Commission on June 24, 2003. These guidelines and instructions are based on the regulations and provide information on the review, evaluation, award, and administration of these grants.

The State Preservation Grants Program was created because state lawmakers and voters recognized that many significant properties controlled by public agencies and non-profit organizations need extensive repairs or restoration; that it is essential to preserve landmarks that embody our heritage; and that arts and culture organizations face unique challenges in updating their historic facilities for new audiences and programs. Preserving these particular landmarks—theatres, museums, concert halls, dance spaces, art centers—contributes to the quality of life in Rhode Island and insures that our arts and culture facilities continue to inspire new generations. Moreover, historic preservation creates jobs, stimulates tourism, educates us about the past, revitalizes our downtowns and neighborhoods, and combats sprawl in rural places.

The State Preservation Grants Program is a matching grant program. It promotes careful planning for the restoration, rehabilitation, and preservation of a variety of historic resources around the state. Through its matching requirements, the program stimulates broader support and participation in historic preservation projects statewide. Awards for the first \$1.5 million grant round were announced in November 2003. For the second round, applications will be available on May 4, 2004 and due on July 30, 2004. Applicants will be notified of grant decisions in early November 2004.

The Rhode Island Historical Preservation & Heritage Commission is the state office for historic preservation and heritage programs. It identifies and protects historic and prehistoric sites, buildings, and districts statewide. Created in 1968, the Commission consists of sixteen volunteer members and a staff which includes historians, architectural historians, archaeologists, and architects. Responsibilities include developing a state historical preservation plan; conducting a statewide survey of historical sites and buildings; nominating significant properties to the National Register and the State Register of Historic Places; administering programs of financial aid including grants, loans, and tax credits; reviewing federal and state projects to assess their effect on cultural resources; and regulating archaeological exploration on state land and under state territorial waters. The Commission is charged with developing and carrying out programs to document, support, and celebrate the ethnic and cultural heritage of Rhode Island's people.

Please read and follow all instructions closely.

Application Instructions:

- Please type or word process your answers; be as specific and complete as possible, and please answer the questions in the space provided.
- If a question does not apply, fill in “N/A” and briefly explain why.
- All dollar amounts should be rounded to the nearest whole dollar.
- Please include all supporting materials. Applications lacking any of the required materials at the application deadline will be returned.
- RIHPHC will accept completed applications with all supporting documents postmarked no later than July 30, 2004 or hand-delivered to the RIHPHC office by July 30, 2004. Once the application has been received, RIHPHC will acknowledge its receipt.
- Originals of all applications will be archived. Copies of applications that do not receive funding will be discarded 60 days after grant announcements are made, unless the applicant requests their return. RIHPHC reserves the right to retain and publish visual materials submitted with any application, such as slides, photographs, plans, and working drawings.
- RIHPHC staff is available to answer your questions about the application. Call 401-222-4142 or email szurier@preservation.ri.gov.

Eligible Applicants:

The following groups are eligible to apply for grants through this program

- Non-profit private organizations that can document their non-profit 501(c)(3) status
- Municipal agencies
- State agencies
- Indian tribes recognized by the Secretary of the Interior

Applications will not be accepted from private individuals, for-profit organizations, or corporations. Applications will not be accepted from municipal agencies in any city or town that does not have an approved comprehensive plan. Applicants may submit one application in each grant round.

Ownership status:

- Applicants must own or operate the property for which the grant is sought.
- Applicants who have a lease or written agreement of at least 20 years from the date of the application are eligible.
- Applicants with less than a 20-year lease or written agreement will be considered on a case-by-case basis.

Eligible properties:

- The property for which the grant is sought is used as a Museum or Cultural Art Center, as defined as “A historic structure open to the public that is used principally to house artifacts and exhibits of historical, artistic, cultural, or educational value; or a historic structure open to the public that is used principally to present cultural events such as performances of music, dance, or theater. At a minimum, the museum or cultural arts center must be open to the public twelve (12) days per year.”

- The property/structure for which the grant is sought must be historic, defined as listed in the State Register or eligible for listing in the State Register. The State Register includes properties that are individually listed on the National Register of Historic Places, properties that contribute to National Register historic districts, and properties located in historic districts designated by local government.

The Grant Project, the Entire Project, and Eligible Activities:

The application requires information about both *the Grant Project* and *the Entire Project* including both Ineligible and Eligible Activities. For example, an applicant has a Grant Project that consists of \$20,000 worth of roof replacement and window repairs. The applicant's Entire Project includes the window repairs and masonry work as well as construction of a new parking lot at a total cost of \$50,000. Only the roof and window work would qualify as Eligible Activities for grant funding, but we need to know about the parking lot construction as well.

Eligible Activities are:

- Capital improvements, defined as preservation, restoration, or rehabilitation expenditures that permanently improve or significantly extend the useful life of the historic property.
- Work that conforms to the *Secretary of the Interior's Standards for the Treatment of Historic Properties*.
- Also, construction must begin within one year of the award date and must be completed within two years of the award date.

The following activities are not eligible for grant funding but must be acknowledged if part of the Entire Project:

- New construction.
- Reconstruction such as recreating a building.
- Projects whose entire scope of work consists solely of general maintenance.
- Landscaping or site work as part of non-historic improvements such as parking lots, sidewalks, etc.
- Projects that consist only of predevelopment or planning, such as historic structure reports, master plans, architectural studies.
- Acquisition of property or collections.
- Restoration of historical artifacts or collections
- Mitigation activities performed as a condition or precondition for obtaining a local, state, or federal permit, license, or other approval.

The following activities are not allowed on the Entire Project:

- Any type of abrasive cleaning of exterior surfaces (including but not limited to sandblasting, wet grit blasting, high pressure water washing).
- Application of aluminum or vinyl siding
- Use of mortar which does not match original in composition, color, strength, and appearance
- Scrubcoating masonry surfaces
- Installation of insulation without a proper vapor barrier, or where the installation will result in inappropriate changes to the interior or exterior of the building

- Replacement of original historic windows; if original historic windows are beyond repair, as determined in consultation with RIHPHC architects, replacement-in-kind would be allowed.

The RIHPHC feels strongly that all existing historic building elements, exclusive of asphalt or wood roof shingles, are worthy of preservation. Only the most deteriorated wood (with extensive rot or splits in excess of 6") should be replaced with new wood. Consolidation, epoxy repair, or other means of repair of existing fabric, if possible, are preferable to complete replacement.

Grant Funding and Required Match:

There are two levels of grant funding, with different requirements for matching funds:

Small Project Grants

- The minimum Entire Project cost is \$7,500, and the maximum Entire Project cost is \$45,000.
- The minimum grant request is \$5000, and the maximum grant request is \$30,000.
- For example, if the Entire Project consists of eligible window repairs and masonry work at a cost of \$20,000, the applicant would seek a Small Project Grant, because the Entire Project costs less than \$45,000.
- Applicants must provide a \$1 match for every \$2 requested in grant funds. For example, an applicant must provide a \$10,000 match for a \$20,000 grant.
- Eligible "in-kind" contributions may include approved building materials and approved professional design and construction services. Labor from volunteers who are not construction professionals and staff time from the grantee are not eligible for match.

Large Projects

- The minimum Entire Project cost is \$45,001.
- For example, if the Entire Project consists of window repairs, masonry work, and parking lot construction at a cost of \$50,000, the applicant would seek a Large Project Grant, even if the Grant Project costs only \$20,000.
- The maximum grant request is \$200,000.
- Applicants must match the grant in cash on a dollar for dollar basis. For example, an applicant must provide a \$150,000 match for a \$150,000 grant.
- No "in-kind" matches will be accepted.

Preservation projects range in size and extent. Small Project grants enable applicants to complete preservation projects when a smaller state investment is needed or when matching funds are more difficult to raise. Large Project grants require applicants to raise other funds to match a substantial state investment.

Note that applicants may request a Waiver of Retroactivity for eligible costs incurred prior to a grant award to count toward matching fund requirements. Applicants must document that waived costs are directly related to the Grant Project. Costs incurred prior to the approval of a project are at the applicant's risk, and approval of retroactive matches is not assured.

Grant selection:

Grants are awarded on a competitive basis as the result of a three-part review:

- Preliminary review by RIHPHC staff for eligibility and completeness
- Evaluation by the Review Panel appointed by the Commission. Members will include a historian, an archaeologist, an architect, a representative of the arts community, and the RIHPHC's Executive Director, and will come from different parts of the state.
- Final consideration of Review Panel's recommendations by the Commission. The Commission will vote to approve Grant Projects. In making final selections, the Commission will consider the relative distribution of grants among different regions of the state.

Grant Requirements and Procedures:

If selected to receive a grant, the grantee will sign a funding agreement including but not limited to the following:

- The property owner will sign a historic preservation easement that protects the entire exterior of the historic structure where the project is located, significant interior features that were improved by the project, and the property surrounding the structure in consultation with the RIHPHC. The terms shall be 10 years for Small Projects and 25 years for Large Projects.
- The property shall be open to the public for a minimum of twelve (12) days per year, subject to reasonable limits on the type and extent of use of properties supported by this grant program when such a limitation is necessary for maintenance or preservation of the property and subject to reasonable fees.
- Plans and specifications must be approved by the RIHPHC, and the project will be monitored by the RIHPHC historical architect.
- Purchasing and contracting of services must follow approved procurement procedures in consultation with the RIHPHC in order to encourage open and competitive bidding. Any municipal agency or state agency that owns a property assisted with funds from this grant program shall comply with RIGL 37-13.
- Construction contracts must be approved by the RIHPHC.
- Funds will be deposited into a bank account in both the grantee's and RIHPHC's names. Disbursements from this account will be made upon RIHPHC approval of project work. Any interest earned on the account will be used for the project, and unused funds returned to the State.
- The property must be maintained in its historic condition and in accordance with an approved plan. A maintenance plan must be submitted and approved prior to the release of grant funds.
- A final project report will be required within 30 days after work is completed. This will include a brief description of each work item, and a financial summary. It will include "before, during and after" photographs.

A project sign acknowledging funding by the RI Historical Preservation and Heritage Commission will be placed on site during the course of the project.

For more information, refer to the document entitled "State Preservation Grant Procedures."

STATE PRESERVATION GRANTS: APPLICATION FORM

I. APPLICATION SUMMARY

1. Name of organization:
Mailing address:
City/State/Zip:
Website: _____ Phone: _____
2. Project contact person's name:
Organization (if different from above):
Mailing address (if different from above):
City/State/Zip (if different from above):
Phone/fax/email: _____
3. Type of Organization (check one):
☐ non-profit agency [501 (c) (3)]; **Attachment D required** ☐ municipal agency
☐ state agency ☐ Federally-recognized tribe
4. Identification of the historic structure where the grant project is located:
Name of property:
Street address:
City/State/Zip: _____
5. Relationship of applicant to property (check one):
☐ Applicant owns property (answer 5a)
☐ Applicant leases or has a written agreement to use property (answer 5b and 5c; **Att. E required**)
☐ Applicant intends to lease or have a written agreement to use property (answer 5b and 5c; **Att. E required**)
 - a. Year property was acquired: _____
 - b. Start and end dates of lease or written agreement: _____ / _____
 - c. Owner information:
Name: _____
Street address: _____
City/State/Zip: _____ Phone: _____
6. Grant Project Summary (for definition of Grant Project, see Guidelines, page iii)
Title: _____

One-sentence summary of Grant Project:

Entire Project cost (see 19A.):	\$ _____	Match required (see 19D):	\$ _____
Grant Project cost (see 19B)	\$ _____	Match available (see 19I):	\$ _____
Grant request (see 19C):	\$ _____	Match deficit (see 19J):	\$ _____

Check one:

☐ Small Project (Entire Project costs \$7500-\$45,000) ☐ Large Project (EP costs \$45,001+)

II. PROPERTY INFORMATION

7. Date built: _____ Major addition(s) and date(s): _____
Original use: _____
Architect(s), if known: _____
Builder(s), if known: _____
8. Briefly describe the architectural cultural, and historical significance of the property.
9. Condition and Accessibility
- a. Current general condition of the property:
___ excellent ___ good ___ fair ___ poor ___ endangered
Briefly describe any threat, inappropriate use or preservation need faced by the property. If it is endangered, explain the nature of the threats and why they developed:
- b. The property is accessible to the public as required by the Americans with Disabilities Act (ADA): ___ yes ___ no
Briefly describe ADA accessibility of the property.

III. PROJECT INFORMATION

10. Briefly describe the Grant Project and the preservation needs of the property.

11. Briefly describe the Entire Project, including Eligible and Ineligible Activities (see Guidelines, p. iii).

12. The current design status of the project (check one):

- ☐ have not begun design process
- ☐ schematic design/design development

- ☐ preliminary scope of work
- ☐ final construction documents

13. Provide projected dates (month/year) for each task:

complete planning and design: ____/____
identify qualified contractors: ____/____
select contractor: ____/____

start construction: ____/____
complete construction: ____/____

14. The project is based on a (check as many as apply):

___ preservation plan ___ historic structure report ___ perceived need
___ construction professional's recommendation ___ other study (identify):

15. If available, list up to three documents important in developing the project. For example: historic structure report, conservation report, inspection by architect or contractor, plans and specifications)

Date	Author/Consultant	Document title/1-sentence summary

16. The costs of the project (as reported in 18. Budget) must be based on one of the following (check one or more):

___ price estimate provided by a construction professional
___ written proposal or signed contract by a construction professional
___ competitive bids based on construction documents

___ other—identify: _____

If any of above documents are available, include as **Attachment F**

17. If available, provide the following information about the firm or individual providing cost estimates:

Name:

Title:

Mailing address:

City/State/Zip:

Phone:

18. Budget for Entire Project/Grant Project:

To determine Eligible and Ineligible costs, refer to the Eligible and Ineligible Activities in the Guidelines. Please enter all activities for Entire Project and put a * next to each activity relating to the Grant Project.

Special instructions for Small Projects: Please include the value of eligible donated services and materials.

A. NON-CONSTRUCTION (architectural, engineering, etc.)

Activity	Eligible costs	Ineligible costs	Total costs
	\$	\$	\$
Subtotal, non-construction costs	\$	\$	\$

B. CONSTRUCTION: SITEWORK

Activity	Eligible costs	Ineligible costs	Total costs
	\$	\$	\$
Subtotal, sitework construction costs	\$	\$	\$

C. CONSTRUCTION: EXTERIOR

Activity	Eligible costs	Ineligible costs	Total costs
	\$	\$	\$
Subtotal, exterior construction costs	\$	\$	\$

D. CONSTRUCTION: INTERIOR

Activity	Eligible costs	Ineligible costs	Total costs
	\$	\$	\$
Subtotal, interior construction costs	\$	\$	\$

E. TOTAL

	Eligible costs	Ineligible costs	Total costs
(add subtotals A + B + C + D)	\$	\$	\$

19. Funding worksheet:

Instructions for Small Projects:

Line B. Minimum grant request is \$5000; maximum grant request is \$30,000.

Line C. Required match is one-half the grant request.

Instructions for Large Projects:

Line B. Grant request may not exceed one-half of eligible costs or \$200,000, whichever is smaller.

Line C. Required match is the same amount as the grant request.

REVENUE	Eligible costs	Ineligible costs	Total costs
A. Entire Project costs (from 18E)	\$	\$	\$
B. Grant Project costs	\$	XXXXXXXX	XXXXXXXX
C. Grant request	\$	XXXXXXXX	XXXXXXXX
D. Match required	\$	XXXXXXXX	XXXXXXXX

MATCHING FUNDS	Eligible costs
E. Cash-in-hand (funds on deposit in your organization's account)	\$
F. Contributions pledged (committed pledges explicitly restricted for use in this work)	\$
G. Other grants supporting this work—list: (committed bonds and grant awards explicitly restricted for use in this work)	\$
H. Other sources of income for work--list: <ul style="list-style-type: none"> For Small Projects, list eligible donated services and materials and include their values here. For prior expenditures, list work expenditures documented by canceled checks. 	\$
I. TOTAL MATCHING AVAILABLE	\$
J. MATCH DEFICIT (line C – line I)	\$

20. Available matching funds:

If you filled out 19F, 19G, or 19H, itemize and describe the source and status of funds listed.

Source of funds	Status	Date available	Amount (\$)

21. Matching funds to be raised:

If you filled out 19J, explain your plans and schedule for raising the additional funds needed:

22. Prior expenditures:

If you included prior expenditures in 19H, provide a list of eligible expenditures. Do not list amounts spent or contracted on ineligible activities. Include copies of any available receipts in ***Attachment G***.

IV. APPLICANT INFORMATION/PROJECT IMPACT

23. Applicant summary

- a. Number of staff: full-time paid: ____ part-time paid: ____
 full-time unpaid: ____ part-time unpaid: ____
- b. Membership organization (check one): ____ yes ____ no

 If yes, indicate the number of members: ____
- c. Primary audience (check as many as apply): ____ local ____ regional ____ statewide

24. Briefly describe the current use of the property as a Museum or Cultural Arts Center. Include information about the organizational mission and the audiences you serve:

25. Provide the information about visitation; number of days open; and exhibit, program, and schedule highlights for the last three years:

Year	# visitors	# days open	Exhibit/program/schedule highlights
2003			
2002			
2001			

- a. For Museums, briefly describe the permanent collection and long-term exhibits:

- b. For Cultural Art Centers, briefly describe long-term programs:

26. Provide up to three examples of grants managed by your organization within the past five years. In each example, list the project, the amount of the grant, funding source, and the date the project was completed.

Project	Grant amount	Funding source	Complete date
A	\$		
B	\$		
C	\$		

27. Briefly explain the impact of the proposed project on the operation of the Museum or Cultural Art Center. Include information about the following:

- how the preservation of the property fits into the organization's long-range plans
- how the completed project will serve current and/or new audiences
- how visible and/or accessible the improvements will be to the public

28. Briefly explain your organization's plans for long-term maintenance of the property upon completion of the proposed project. Include information about the following

- how the organization plans to monitor the condition of the property
- how the organization will oversee and pay for maintenance work
- if there is a maintenance reserve annually budgeted

29. Briefly explain the consequences of not completing the proposed project.

Applicant assurances

I have read the information contained in the grant application package, and I am willing to follow the rules and requirements of the State Preservation Grants. I certify that:

- a. the governing board has voted to carry out this project; has authorized the individual signing this agreement to do so in its behalf; and by his/her signature binds the organization to the statements and representations contained in the application;
- b. the facts, figures, and information contained in this application, including all attachments, are true and correct to the best of my knowledge;
- c. matching funds in the amount of \$_____ are currently available, or will be available by ____/____/____ (date) for this project;
- d. any funds received will be expended in accord with the terms and conditions of the grant agreement to be executed by the Rhode Island Historical Preservation & Heritage Commission;

Acting as duly authorized representative for the applicant organization, I am submitting this request for assistance from the Rhode Island Historical Preservation & Heritage Commission.

Signature of individual _____ Date _____

Typed name and title:

Owner assurances

Note: if the property is not owned by the applicant, the owner must sign these assurances.

I have read the information contained in the grant application package, and I am willing to follow the rules and requirements of the State Preservation Grants. I certify that:

- a. I understand the purpose of this application, and agree to its submission to the Rhode Island Historical Preservation & Heritage Commission; and
- b. A valid lease or written agreement conforming to the requirements of the Rhode Island Historical Preservation & Heritage Commission must be in effect with the applicant as a condition of a grant award for this property
- c. I will sign a historic preservation easement, thereby agreeing to preserve and maintain the rehabilitated property for a term of years based upon the grant amount

Signature of owner _____ Date _____

Typed name:

Signature of co-owner (if applicable) _____ Date _____

Typed name:

Attachments/Application Checklist

Please provide one complete Master Application with all attachments listed below (A-G). Also provide 9 Review Copies with requested attachments (A, B, C).

✓	# Copies	Attachment
<input type="checkbox"/>	Master Application + 9 Review Copies	A. Application form: The completed application form including application, applicant assurances, and owner assurances.
<input type="checkbox"/>	Master + 9 Review Copies	B. Documentation of community support: include examples of community support specifically for your project; these can be letters of support, award certificates, editorials, etc. (<u>suggested for all applicants</u>)
<input type="checkbox"/>	Master + 9 Review Copies	C. Photographs: Five 4" x 6" <u>glossy</u> , color prints <ul style="list-style-type: none"> • One general view of the structure for which the grant is sought • Four views of target areas and conditions that demonstrate the need for the grant. <p>All photographs must be clearly labeled, dated, and bound in photo sleeves. Photographs must be clear, high-quality, glossy, color prints; these photos may be used for our website, for posters, or for other purposes. DO NOT send digital photos printed on 8 1/2" x 11" paper.</p>
<input type="checkbox"/>	Master Application only	D. Non-profit documentation: all of the following are required <ul style="list-style-type: none"> • latest IRS form 990 (return of organization exempt from income tax) if filed • current fiscal year budget • most recent accountant's audit, fiscal review, or compilation report • most recent annual report (required for non-profit applicants only). • List of board of directors and staff, with titles
<input type="checkbox"/>	Master Application only	E. Property lease or written agreement: Copy of lease agreement or written agreement (required of all applicants who lease or have a written agreement to use property)
<input type="checkbox"/>	Master Application only	F. Design and Cost Information: include copies of documents cited in 16. (required if documents are cited).
<input type="checkbox"/>	Master Application only	G. Receipts of prior expenditures: Copies of receipts of prior expenditures cited in 22. (required if documents are cited).